

Summary

The process of appraisal is designed to enable the planner to establish the merits of a proposal - which includes projects, programmes or a strategy - using a consistent and comprehensive framework. The appraisal utilises a two-part appraisal process, and the results of the appraisal are to be summarised using two *Appraisal Summary Tables or ASTs*.

In *Part 1* of the appraisal the following will be provided in the form of written statements:

- the geographic, social and economic context for the study;
- planning objectives and the proposal's performance against them;
- the rationale for the selection or rejection of the proposal being appraised;
- the proposal's fit with relevant land-use and other policies;
- a broad assessment of the scope and scale of costs, benefits and other impacts associated with the proposal;
- issues affecting the proposal's "implementability".

In *Part 2*, the proposal is appraised in detail against the Government's five objectives set out in *Travel Choices for Scotland*. However, it should be noted that there are a number of developments, of which the following are the most significant:

- the economy objective is itself divided into two parts, the first a conventional transport cost benefit analysis and a second which enables impacts such as those on GDP, employment and the location of economic activity to be stated explicitly and linked to the transport impacts of the proposal;
- the accessibility objective is designed to pick up on relative ease of movement across areas;
- for each objective, there is a need to identify where there may be impacts on particular social, economic or spatial groups.

The AST is to be used for both large and small proposals; however, it will often be inappropriate to complete all of the AST in detail for small proposals. This is why in Part 1 promoters should assess the scale and scope of a proposal's impacts. Guidance is provided on using the ASTs with small and intermediate projects in the following seven chapters and in Appendix D, Specific Applications of STAG.

While there are areas within the overall appraisal where a flexible and proposal-specific approach is acceptable, any formal appraisal summary submitted to the Scottish Executive will require to be completed following the guidance set out in this and the following ten chapters.

5. THE APPRAISAL PROCESS

5.1 Introduction

5.1.1 A STAG appraisal will have two parts:

- Part 1: this is an initial appraisal and broad assessment of impacts designed to decide whether a proposal meets the planning objectives, fits with relevant transport, land use and other policies and hence should proceed to -
- Part 2: the detailed appraisal against the Government's objectives.

5.1.2 The results of the appraisal process will be summarised in a written report with the appraisal of each proposal presented in a self-contained Appraisal Summary Table or AST. Part 1 is intended to be completed by planners at an early stage in the development of a proposal as a check on the suitability of the proposal and the likelihood of its proceeding to the detailed Part 2 appraisal. In this respect, Part 1 is intended to act as part of a prior/initial appraisal.

5.1.3 As the Scottish Executive wishes to encourage planners to undertake early appraisal prior to committing significant resources to the development of proposals, planners should undertake the Part 1 appraisal as soon as practicable. This is preferable to a situation in which the Scottish Executive receives a final submission for a proposal which has defects, and where an early input from the Scottish Executive would have ensured a better use of time and resources in developing the proposal.

5.1.4 Where a preferred proposal has been identified at the option generation stage, the Part 1 appraisal should be used to scope and test that preferred option. Where a number of alternative proposals have been generated, the Part 1 appraisal should similarly be used to scope and test alternatives. It is feasible that no clear preferred proposal is evident following Part 1, in which case a full Part 2 appraisal should be used to test the alternative proposals.

5.1.5 The Part 1 appraisal is an integral element in the overall appraisal, and where planners decide to develop the proposal beyond the initial stages, they will be expected to ensure that any additional or more up-to-date information relevant to the Part 1 appraisal is included in the submission. Updated Part 1 information will therefore be carried forward and updated as part of completing the full Part 2 appraisal.

5.1.6 To assist the concise yet comprehensive presentation of the more detailed Part 2 appraisal the summary tables contained within this guidance should be submitted. It is important to stress that the tables are a summary of the appraisal, they are not the appraisal *per se*. Planners must be in a position to demonstrate that supporting analysis has been undertaken to support the appraisal. A summary of the methods adopted and the results derived from the methodology should accompany the completed ASTs. Further details on reporting are contained in Chapter 14.

- 5.1.7 Although not compulsory, it will frequently be appropriate to carry out the Part 2 appraisal by making use of worksheets. Some examples of suitable worksheets are provided in later Chapters. The scope and complexity of all worksheets should be adapted to the nature of the proposal being appraised and planners should use their professional judgement to determine the most appropriate methodology in a particular case.
- 5.1.8 The ASTs are to be used for both large and small proposals; however, it will often be inappropriate to complete all of the AST in detail for small proposals. This is why, in Part 1, planners should assess the scale and scope of a proposal's impacts. Guidance is provided on using the ASTs with small and intermediate proposals in the following seven chapters and in Appendix D, *Specific Applications of STAG*.
- 5.1.9 When the AST is being used for the successive sifting and development of alternatives, it may not be necessary to complete all parts of the AST for every alternative. Once sufficient information has been produced to support the elimination of an alternative, and as long as all relevant factors have been taken into account, then the appraisal and the corresponding AST does not necessarily need to be completed in full. The incomplete AST will however form part of the documentation to demonstrate why this alternative was removed from further consideration.
- 5.1.10 As already noted the AST presents only a summary of the most important aspects of the appraisal of a strategy, plan, programme or project to inform the decision maker of the key findings. The AST therefore forms just one component of the appraisal of a preferred proposal or proposals. When completing the AST planners should strive to ensure the Part 1 AST does not extend to more than four A4 pages and the Part 2 AST to no more than ten A4 pages (as shown in Tables 5.1 and 5.2 later in this chapter). For presentational reasons planners should use a font size no smaller than 10 point when completing the AST. It may be convenient if the AST can also act as an index to the more detailed discussion in the STAG Report (ref. Chapter 14) or technical analyses that are available. In this case the use of, for example, footnotes or references, would be appropriate.

5.2 Performance Against the Various Sets of Objectives

- 5.2.1 The appraisal process requires that proposals be tested against three sets of objectives:
- The planning objectives established by the planner;
 - The Government's five objectives (environment, safety, economy, integration and accessibility); and
 - Any other relevant external objectives relating to transport, land-use or wider policies, identified either in the objective formulation process (Chapter 2) or initial scoping of the integration aspects (see Chapter 9).
- 5.2.2 Performance against the first of these sets of objectives is crucial from the planner's perspective since it is in their interest to seek the most effective and efficient way of meeting planning objectives. The choice of the preferred proposal(s) and the

rationale for that choice (as required in the Part 1 appraisal) should therefore be founded upon the planning objectives. As an aid to assessing performance against planning objectives, planners are expected to develop their own version of the ASTs defined in this chapter. Such ASTs can be used to:

- Determine the preferred options to be taken forward;
- Demonstrate the fit of the preferred options against the planning objectives.

5.2.3 Planners should also be aware that when they are seeking funding from the Scottish Executive, the Government's five objectives are central to the appraisal. The Scottish Executive has a national role and must balance the competing needs of different areas and communities and assess the extent to which transport proposals represent value for money in allocating available funds. This therefore is the principal reason for carrying out appraisal against the Government's five objectives. These objectives play another important role by capturing the overwhelming majority of potential impacts of a transport proposal: a thorough appraisal will alert the planner to any unexpected or undesired impacts additional to those which the planning objectives were designed to encompass.

5.2.4 The third set of objectives can quite reasonably be seen as constraints upon the proposal being put forward. A clear conflict between a proposal and, for example, established land-use planning policy or transport targets in the area is likely to jeopardise its potential for both funding and implementation. A positive contribution towards the achievement of other relevant objectives will be to the proposal's credit.

5.3 Overview of Part 1

5.3.1 The Part 1 appraisal should provide basic information on the proposal and consider its impacts as a check on the suitability of the proposal and the likelihood of its proceeding to the detailed Part 2 appraisal. The Part 1 appraisal requires a scoping appraisal of the impacts of the proposal against both the planning objectives and the Government's five objectives. At this stage the planner should produce an indicative assessment of the scope and scale of the benefits and impacts associated with a proposal.

5.3.2 The Part 1 appraisal should be summarised using Table 5.1, further guidance on reporting is contained at Chapter 14.

Part 1 Appraisal Summary

5.3.3 The Part 1 appraisal summary table sets out in one place:

- a brief description of the proposal;
- summary background information on the geographic, social and economic context of the study area likely to be affected by the proposal;
- the planning objectives set by the planner, as defined in Chapter 2 together with any relevant additional external objectives and a summary of the performance of the proposal against these objectives;

- a brief summary of the rationale for taking the proposal forward to a Part 2 assessment or a summary explanation of why the proposal is being rejected;
- a statement of the scope for implementation;
- a summary of the scoping appraisal of the impacts of the proposal against the Government's five objectives.

5.3.4 The Part 1 AST is divided into five sections:

- the proposal's details;
- background information;
- Scoping appraisal of the impacts against planning objectives;
- Implementability Appraisal; and
- A scoping appraisal of the impacts against the Government's five objectives.

5.3.5 The first section of the Part 1 AST *Proposal Details* is largely self explanatory. Planners may submit supporting information relating to the proposal's cost estimates and, in any event, must be in a position to justify those estimates. The proposal description should be kept brief and should highlight the key components. Where appropriate, a fuller description of the proposal, possibly including maps or diagrams, could be provided in the accompanying submission.

5.3.6 In the second section of the Part 1 AST *Background Information* planners should present a summary of:

- the *Geographical Context*. A general statement describing the geographic area likely to be affected by the proposal. This should include a description of the built and natural environment (baseline information) as well as a description of the existing transport infrastructure. Relevant journey to work areas should also be described.
- the *Social Context*. A summary of the social makeup of the area likely to be affected by the proposal. Areas of deprivation and social exclusion should be identified as well as noting any relevant policy designations, such as whether the area is within a European Structural Fund area, a Priority Partnership or a Social Inclusion Partnership area.
- the *Economic Context*. A description of the principle sectors and industries within the study areas as well as a summary of the factors affecting performance.

5.3.7 The third section of the Part 1 AST, *Planning Objectives* is a tabular listing of the planning objectives established and a summary assessment of the performance of the proposal against each objective. When a decision has been taken to either take a proposal forward to a Part 2 appraisal or reject it the rationale of the key reasons for this decision should be set out in this section.

5.3.8 The rationale for rejection or retention should always be explained although, as noted in §5.1.9, it is possible that a proposal may be rejected without fully completing all elements of the appraisal, for instance where a proposal performs particularly badly against a Government objective to make it highly unfeasible.

5.3.9 The fourth section of the Part 1 AST is an *Implementability Appraisal*. Here the planner should summarise the proposal's impact on:

- *Technical Issues* - a preliminary assessment of the feasibility of construction or implementation (if relevant) of a proposal and the status of its technology (e.g. proven, prototype, in development etc.) as well as any cost, timescale or deliverability risks associated with the construction of a proposal, including consideration of the need for any departure from design standards that may be required;
- *Operational Issues* - who would operate the proposal, including, if relevant, their statutory powers to operate a proposal and any other issues (e.g. cost) which may impact on its operation;
- *Financial Issues* - what is the scale of the financing burden on the promoting authority and other possible funding organisations and what are the risks associated with these. What is the level of risk associated with a proposal's on-going operating or maintenance costs and its likely operating revenues (if applicable);
- *Public Issues* - the likely public response to a proposal. Reference to supporting evidence, for example results from a consultation exercise, should be provided where appropriate.

5.3.10 The final section of the Part 1 AST summarises the scoping appraisal of the impacts of the proposal against the Government's five objectives. For each of the categories in this section of the Part 1 AST, the planner should consider the relative size or scale of its impacts, and should note whether the proposal would bring:

- major benefit – these are benefits or positive impacts which, depending on the scale of benefit or severity of impact, the planner feels should be a principal consideration when assessing a proposal's eligibility for funding;
- moderate benefit – the proposal is anticipated to have only a moderate benefit or positive impact. Moderate benefits and impacts are those which taken in isolation may not determine a proposal's eligibility for funding, but taken together could do so;
- minor benefit – the proposal is anticipated to have only a small benefit or positive impact. Small benefits or impacts are those which are worth noting, but the planner believes are not likely to contribute materially to determining whether a proposal is funded or otherwise;
- no benefit or impact – the proposal is anticipated to have no or negligible benefit or negative impact;
- small minor cost or negative impact – the proposal is anticipated to have only a small cost or negative impact. Small costs or impacts are those which are worth noting, but the planner believes are not likely to contribute materially to determining whether a proposal is funded or otherwise;
- moderate cost or negative impact – the proposal is anticipated to have only a moderate cost or negative impact. Moderate costs /negative impacts are those which taken in isolation may not determine a proposal's eligibility for funding, but taken together could do so;

- major cost or negative impacts – these are costs or negative impacts which, depending on the scale of cost or severity of impact, the planner should take into consideration when assessing a proposal's eligibility for funding.

5.3.11 Qualitative information on impacts is all that is required at this stage, but where available quantitative information should also be provided. Supporting qualitative, and where possible quantitative, information should be presented in the Supporting Information column and where necessary either referenced to further information contained in the main body of the submission or in associated technical reports.

Table 5.1: Part 1 Appraisal Summary Table

Proposal Details	
Name and address of authority or organisation promoting the proposal: (Also provide name of any subsidiary organisations also involved in promoting the proposal)	Name of Planner:
Proposal Name:	Name of principle contact within the authority or organisation promoting the proposal.
Proposal Description:	Estimated Total Public Sector Funding Requirement:
Funding Sought From: (if applicable)	Capital costs/grant
	Annual revenue support
	Present Value of Cost to Govt.
	Sum
Background Information	
Geographic Context:	Describe the location of the proposal and the areas likely to be affected. Describe the built and natural environment of the areas likely to be affected.
Social Context:	Describe the social make up of the areas likely to be affected. Identify areas which suffer from problems of deprivation and social exclusion. Is the area likely to be affected within a European Structural Fund area, a Priority Partnership area or a Social Inclusion Partnership area?
Economic Context:	Describe the economic context of the area likely to be affected. What are the principle sectors / industries and what are the factors affecting performance?

Table 5.1: Part 1 Appraisal Summary Table – continued

<p>Planning Objectives</p>	<p>Objective:</p>	<p>List each of the planning objectives in summary <i>(This should be supported in the accompanying report by a more detailed description on objectives and how they were derived)</i></p>	<p>Performance against planning objective:</p> <p>For each planning objective describe to what extent the proposal is expected to meet the objective.</p>
	<p>Rationale for Selection or Rejection of Proposal:</p>	<p>State whether the proposal is being selected for consideration at Part 2 or being rejected. Describe why the proposal is favoured over the other alternatives or why the proposal is being rejected from further consideration.</p>	

Table 5.1: Part 1 Appraisal Summary Table – continued

Implementability Appraisal	
Technical:	<i>From a technical standpoint, how straightforward will it be to implement the proposal? Are any novel / untried / leading edge technologies involved? Are there any risks involved in developing or implementing the proposal?</i>
Operational:	<i>Are there any factors which might adversely affect the ability to operate the proposal over its projected life without major additional costs?</i>
Financial:	<i>Can the capital costs of the proposal be funded and under what methods of funding? Can the proposal meet its on-going operating costs? If operating subsidies are required, how will these be funded?</i>
Public:	<i>Has the proposal been made public? If so, how acceptable is the proposal? Are there objections from particular sections of the community or from particular areas?</i>

Table 5.1: Part 1 Appraisal Summary Table – continued

Government's Objectives for Transport		
Objective	Assessment Summary	Supporting Information
Environment:	<i>Description of Impacts Assessment using 7 levels of impact</i>	<i>How the proposal will contribute towards reducing emissions of CO₂ and other pollutants, and promote better air and water quality. Are there adverse impacts on the environment? What are the distributional impacts, who will be the gainers and losers?</i>
Safety:	<i>Description of Impacts Assessment using 7 levels of impact</i>	<i>How will the proposal enhance safety for different types of transport users? Will it involve gainers and losers in terms of safety? Are there impacts on personal safety / security?</i>
Economy:	<i>Description of Impacts Assessment using 7 levels of impact</i>	<i>How will the proposal affect traffic volumes, journey times, or the reliability of travel times? Will there be gainers and losers, and if so what are the impacts on users and operators of different transport modes and in different areas? How might the proposal help attract new jobs, help existing businesses, open up appropriate land for development?</i>
Integration:	<i>Description of Impacts Assessment using 7 levels of impact</i>	<i>How will the proposal promote or enhance transport integration? Will services be able to function in a more complementary manner? How does the proposal fit with wider government policy including national transport targets?</i>
Accessibility & Social Inclusion:	<i>Description of Impacts Assessment using 7 levels of impact</i>	<i>How does the proposal affect accessibility for transport users and for others, including access to jobs, communities, shops, services and other facilities? How does it impact in terms of tackling social exclusion?</i>

5.4 Part 2 AST

5.4.1 The Part 2 appraisal is the main appraisal within STAG and should be completed following development of the proposal(s) and more detailed investigation of its potential positive and negative impacts, including its capital and operating costs, and the risks involved in implementation and operation. A completed Part 2 appraisal is required when final approval or funding is sought from the Scottish Executive. As will be seen from the AST, elements of the Part 1 appraisal must be carried forward and developed to Part 2. The remainder of Part 2 is essentially a much more detailed exploration and appraisal against the objectives which formed the Part 1 appraisal. Obviously, a positive result from the Part 1 appraisal is a prerequisite for moving on to Part 2.

5.4.2 The Part 2 appraisal should include the following elements carried forward from the Part 1 appraisal:

- The proposal details and background information, which will largely replicate and update the information provided in Part 1;
- An updated assessment of the proposals performance against the established planning objectives, which at this stage should include quantified information against each planning objective; and
- An updated and more detailed implementability assessment, reflecting any work done to test feasibility, seek the views of the public or the publication of new policy documents relevant to the proposal.

5.4.3 The Part 2 appraisal goes on to deal with the Government's five objectives in detail:

- Environment, where all environmental impacts are considered;
- Safety – these are accident and security benefits, which are assessed in terms of accident savings and qualitative changes respectively;
- The impact on the Economy, itself broken down into two parts:
 - Transport economic efficiency (TEE): this addresses the economic welfare impacts of the proposal, which are assessed in terms of what users are willing to pay in order to use it and the financial impact on private sector transport providers; the TEE assessment should also include any demand side impacts arising from land use or other impacts of the proposal;
 - Economic activity and location impacts (EALIs): this addresses the need to include an assessment of any national, and where appropriate regional, sub-regional or local, employment/GDP impacts which may accompany improvements in TEE, together with any impacts associated with land use changes attributable to the proposal.
- Integration, which addresses the impact of the proposal against a three-fold definition of the objective;
- Accessibility and Social Inclusion, which addresses community and comparative accessibility, which are broken down into public transport network coverage, local accessibility, and the distribution of impacts by people group and location.

- 5.4.4 The AST table allows space to include a summary of SEA outcome, for those cases where SEA has been undertaken on the proposal.
- 5.4.5 Following the assessment of benefits against each of the Government's five objectives, the cost to Government of the proposal should be assessed. This includes public sector investment costs, operating and maintenance costs, grant and subsidy payments, and taxation impacts. Overall value for money can then be judged by comparing all of the benefits (whether monetised or not) with the cost to Government.
- 5.4.6 Detailed guidance on the methods that should be adopted to complete the Part 2 AST is given in the next seven chapters. As for the Part 1 AST, references to supporting text in the STAG Report (Ref. Chapter 14) or technical documentation could usefully be included within the AST, however it should be made clear that the AST is intended to be self-contained and sufficient for the decision-maker. References should only be provided to assist in finding supporting information, not to avoid the need for the planner to provide an adequate summary.
- 5.4.7 The final section of the Part 2 AST is a summary of the monetised information contained in the AST. Two monetised value for money indicators should be calculated – the Net Present Value of the project and the Benefit/Cost to Government Ratio. References (PV1, PV2 etc) are provided in the AST for ease of calculation.

Net Present Value (NPV)

- 5.4.8 Net Present Value is regarded as the best measure of the absolute ranking of economic welfare, for comparable proposals. NPV is the sum of the present value of all costs and benefits of the proposal.

Benefit/Cost to Government Ratio

- 5.4.9 In order to measure best value for Government expenditure, it is helpful to compare total external benefits with the cost to Government. This is defined as:

$$\frac{\text{Present Value of Benefits}}{\text{Present Value of Cost to Government}}$$

where the denominator is defined as the present value of the sum of:

- the net impacts on public sector providers including investment and operating costs, but netting off revenues accruing to the public sector;
- taxation impacts; and
- total payments of grant and subsidy to the private sector.

Limitations of Monetised Value for Money Indicators

- 5.4.10 As these indicators only cover impacts which have been valued in monetary terms (namely safety benefits and transport economic efficiency benefits), they only offer

a partial analysis and must be seen within the context of the whole AST. They are of most value when seeking a ranking of proposals of similar scope, e.g. competing road proposals. Caution should be taken when comparing proposals which have a different emphasis of objectives and which are likely to differ significantly in terms of their wider impacts on the environment, social inclusion, etc. Undue weight should not be given to the monetised indicators in comparison with other parts of the overall appraisal.

- 5.4.11 A specific feature of the appraisal is the inclusion of both social and spatial distributional considerations. These are important as they enable decision makers to identify how changes in transport provision and in travel opportunities will impact upon groups in society which are the subject of other areas of policy. These include residents of particular areas, economic groups such as the unemployed and mobility groups.
- 5.4.12 When producing the full Part 2 appraisal, planners should note if their assessment of a proposal's benefits or impacts departs from the scoping exercise that was undertaken to support the Part 1 appraisal. If so, they should explain in a supporting statement why their view changed.
- 5.4.13 The Part 2 Appraisal Summary Table is shown as Table 5.2.

Table 5.2: Part 2 Appraisal Summary Table

Proposal Details	
Name and address of authority or organisation promoting the proposal: (Also provide name of any subsidiary organisations also involved in promoting the proposal)	Name of Planner:
Proposal Name:	Name of principle contact within the authority or organisation promoting the proposal.
Proposal Description:	Capital costs/grant (undiscounted)
Funding Sought From: (if applicable)	Annual revenue support
Funding Sought From: (if applicable)	Present Value of Cost to Govt.
Funding Sought From: (if applicable)	Sum
Background Information	
Geographic Context:	Describe the location of the proposal and the areas likely to be affected. Describe the built and natural environment of the areas likely to be affected.
Social Context:	Describe the social make up of the areas likely to be affected. Identify areas which suffer from problems of deprivation and social exclusion. Is the area likely to be affected within a European Structural Fund area, a Priority Partnership area or a Social Inclusion Partnership area?
Economic Context:	Describe the economic context of the area likely to be affected. What are the principle sectors / industries and what are the factors affecting performance?

Table 5.2: Part 2 Appraisal Summary Table - continued

Planning Objectives	
Objective:	Performance against planning objective:
<p>List each of the planning objectives in summary.</p> <p><i>(This should be supported in the accompanying report by a more detailed description on objectives and how they were derived)</i></p>	<p>For each objective describe to what extent the proposal is expected to meet the objective. Provide quantitative information where available.</p>
Rationale for Selection or Rejection of Proposal:	<p>State whether the proposal is being selected for consideration at Part 2 or being rejected. Describe why the proposal is favoured over the other alternatives or why the proposal is being rejected from further consideration.</p>

Table 5.2: Part 2 Appraisal Summary Table - continued

Implementability Appraisal	
Technical:	<i>From a technical standpoint, how straightforward will it be to implement the proposal? Are any novel / untried / leading edge technologies involved? Are there any risks involved in developing or implementing the proposal?</i>
Operational:	<i>Are there any factors which might adversely affect the ability to operate the proposal over its projected life without major additional costs?</i>
Financial:	<i>Can the capital costs of the proposal be funded, and under what methods of funding? Can the proposal meet its on-going operating costs? If operating subsidies are required, how will these be funded?</i>
Public:	<i>Has the proposal been made public? If so, how acceptable is the proposal? Are there objections from particular sections of the community or from particular areas?</i>

Table 5.2: Part 2 Appraisal Summary Table - continued

Environment		Qualitative Information	Quantitative Information	Significance of Impact
Mitigation Options Included: (Costs & Benefits)				
Sub-objective				
Noise and Vibration	<i>Sensitive receptors within transport corridor</i>	<i>Increase in people annoyed (population) Decrease in people annoyed</i>		
Air Quality - Overall	<i>Performance relative to Air Quality Strategy for England, Scotland, Wales & N. Ireland</i>			
CO ₂ - Global		<i>Net change in CO₂ emissions (tonnes)</i>		
PM ₁₀ - Local		<i>No. people/properties with increase in PM₁₀ No. people/properties with decrease in PM₁₀</i>		
NO ₂ - Local		<i>No. people/properties with increase in NO₂ No. people/properties with decrease in NO₂</i>		
Water Quality, Drainage and Flood Defence	<i>Describe overall effects, including flood risk</i>	<i>Record all affected water resources and their use and quality</i>		
Geology	<i>Describe overall effects on the distribution of impacts</i>	<i>Record numbers of each type of designated site or mineral reserve affected</i>		
Biodiversity	<i>Describe overall designated sites affected</i>	<i>Record all designated sites affected and their designations. List all protected species affected</i>		
Visual Amenity	<i>Describe all receptors affected</i>	<i>Record all receptors affected</i>		
Agriculture and Soils	<i>Describe overall effects</i>	<i>Ha. Class 1/2/3 land affected</i>		
Cultural Heritage	<i>Describe all designated sites affected</i>	<i>Record all designated sites affected and their designations</i>		
Landscape	<i>Describe effect on landscape character / character areas.</i>	<i>Record all designated sites affected and their designations</i>		

Table 5.2: Part 2 Appraisal Summary Table - continued

Safety				
Sub-objective	Item	Qualitative Information	Qualitative Information	Quantitative Information
Accidents	Change in Annual Personal Injury Accidents	Comment on derivation. Note any significant distributional impacts (by area or social group).	Change in annual personal injury accidents.	Change in accidents by severity classification.
	Change in Balance of Severity	Comment on derivation.		PV1
	Total Discounted Savings			
Security		Comment on derivation.		Score, quantitative information if appropriate.

Table 5.2: Part 2 Appraisal Summary Table - continued

Economy (Transport Economic Efficiency)			
Sub-objective	Item	Qualitative Information	Quantitative Information
User Benefits	Travel Time	<i>Illustrate with examples (e.g. particular journey time savings) to demonstrate the source / scale of benefits.</i>	PV2
	User Charges	<i>Distinguish fares, parking charges, tolls or other charges and illustrate with examples.</i>	PV3
	Vehicle Operating Costs		PV4
	Quality / Reliability Benefits	<i>Summarise the approach adopted, e.g. analysis of volume:capacity ratios for road proposals.</i>	
Private Sector Operator Impacts	Investment Costs	<i>Distinguish the cost by mode. Do not include costs incurred by public sector providers.</i>	PV5
	Operating & Maintenance Costs	<i>Distinguish the cost by mode. Do not include costs incurred by public sector providers.</i>	PV6
	Revenues	<i>Distinguish between fares and other relevant revenue streams. Differentiate financial impacts on different modes.</i>	PV7
	Grant/Subsidy payments	<i>Distinguish between grant and ongoing revenue support. Identify potential developer contributions.</i>	PV8

Table 5.2: Part 2 Appraisal Summary Table - continued

Economy (Economic Activity and Location Impacts)			
Sub-objective	Item	Qualitative Information	Quantitative Information
Economic Activity and Location Impacts	Local Economic Impacts	Which local sectors are likely to gain/lose economic activity as a result of the project? Which local geographic areas are likely to gain/lose?	Net changes in employment/GDP at the local (TTWA) level. Note year to which impact refers.
	National Economic Impacts	Which sectors are likely to gain/lose economic activity as a result of the project? Which geographic areas are likely to gain/lose? (NB net impacts at the national level are unlikely to be significant due to displacement and crowding out effects. Net national benefits will usually be adequately covered by the assessment of direct transport benefits.)	Net changes in employment/GDP at the Scottish level. Note year to which impact refers.
	Distributional Impacts	Is the local economy economically depressed or otherwise deprived? Are there specific gains or losses in designated regeneration areas? Which social groups gain or lose? Who fills the jobs – unemployed local residents or in-migrants?	Relevant disaggregated information, e.g. change in unemployment in local area.

Table 5.2: Part 2 Appraisal Summary Table - continued

Integration		Item	Qualitative Information	Quantitative Information
Sub-objective Transport Interchanges	Services & Ticketing	Seamless public transport system? Seamless ticketing? Benefits should usually already be covered by TEE assessment; justification is required for noting any wider benefits here.	Number of passenger journeys affected. Positive / negative impact.	
	Infrastructure & Information	Benefits may already be covered by TEE assessment; justification is required for noting any wider benefits here.	Number of passenger journeys affected. Positive / negative impact. Monetary valuation of impacts may be feasible.	
Land-use Transport Integration		Summary statement on consistency of proposal with National and Local Planning Policies, indicating references to supporting documentation.		
Policy Integration		Fit with key policies including Disability, health, rural affairs, national targets: cite relevant policy documents.		

Table 5.2: Part 2 Appraisal Summary Table - continued

Accessibility & Social Inclusion			
Sub-objective	Item	Qualitative Information	Quantitative Information
Community Accessibility	Public Transport Network Coverage	Issues emerging from consultation regarding gaps in access to jobs and training, health, and shopping and anticipated impacts of scheme.	Do-minimum and Do-something measures of population catchment for PT services and the utility of these services in taking people where they need to travel.
	Access to Other Local Services	Issues emerging from consultation about local barriers to walking and cycling.	Change in population catchments for local shops, health centres etc. based on changes to walking/cycling etc routes.
Comparative Accessibility	Distribution/Spatial Impacts by Social Group	Comment on relevance of distribution assessments for all key population groups as context for quantitative analysis.	Change in ratio of impacts of unemployed people/job seekers/disabled people/ethnic minorities etc. to population as a whole.
	Distribution/Spatial Impacts by Area	Identify main broad distributional impacts by urban/rural, area classification, etc.	Change in ratio of impacts on socially excluded areas and development areas to all areas.
Strategic Environmental Assessment (SEA)			
Summary of outcome appropriate	SEA where appropriate		

Table 5.2: Part 2 Appraisal Summary Table - continued

Cost to Public Sector		
Item	Qualitative information	Quantitative information
Public Sector Investment Costs	Quote costs in current prices, undiscounted. Only applicable to directly-provided public investment, e.g. most roads projects.	PV9
Public Sector Operating & Maintenance Costs	Quote annual costs in current prices. Only applicable to publicly-funded services.	PV10
Grant/Subsidy Payments	Distinguish between grant and ongoing revenue support. Identify potential developer contributions. Quote costs in current prices.	PV11 (NB PV11 should equal PV8 x -1)
Revenues	Distinguish between tolls, parking charges, and any other relevant revenue streams.	PV 12
Taxation impacts	Identify any changes in tax revenues attributable to the proposal, e.g. loss of fuel duty due to modal shift.	PV13
Monetised Summary		
Present Value of Transport Benefits	Total PVB = PV1 + PV2 + PV3 + PV4 + PV5 + PV6 + PV7 + PV8 (Negative values = disbenefits)	
Present Value of Cost to Government	Total PVC = PV9 + PV10 + PV11 + PV12 + PV13 (Negative values = costs)	
Net Present Value	Total NPV = PVB + PVC	
Benefit-Cost to Government Ratio	Ratio = PVB/(PVC x -1)	

